



**Office of Enterprise Compliance Report - Matrix**  
**September 2008**

**Attachment A**

	<b>DATE OF ASSIGNMENT</b>	<b>STATUS</b>
1. Program Activities	Ongoing	<p>On June 30, 2008, hosted the Quarterly Teleconference for the Council of Compliance Officers. The second quarter teleconference was attended by 17 Compliance professionals from various public pension funds throughout the U.S. and Canada.</p> <p>Completed a Recruitment and Retention Strategy for ECOM that includes:</p> <ul style="list-style-type: none"><li>▪ A comprehensive Compliance Model that clarifies the compliance function and CAM roles and responsibilities in assessing, monitoring and mitigating enterprise-wide compliance risks.</li><li>▪ A recruitment package that includes a brochure describing the Compliance profession and career path, and ECOM's role in supporting enterprise-wide compliance at CalPERS.</li></ul> <p>The Assistant Division Chief completed a Workload Assessment project which developed an all-inclusive Workload Overview and analysis of ECOM resource commitments to support requests for additional positions in the FY 09/10 budget planning process.</p> <p>The Assistant Division Chief conducted three sessions of New Employee Orientation, CalPERS "Working Values" in June, July and August.</p>
2. Reporting Non-Compliance Issues	Ongoing	Ongoing



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3. Compliance Area Manager - Investments	Ongoing	Compliance Area Manager (CAM), Investments is monitoring daily and providing weekly summary of compliance alerts to CCO. User access to automated systems monitored and monthly reconciliation reports reviewed.  Worked with CalPERS Investments Office and Legal Office on Investment policy review.
4. Compliance Area Manager-Health	Ongoing	Worked with Health business line to assess risk of non-compliance with policies, rules, and regulations to determine compliance exposures and impact to CalPERS.
5. Compliance Area Manager- Pension	Ongoing	Worked with Pension business line to assess risk of non-compliance with policies, rules, and regulations to determine compliance exposures and impact to CalPERS.